

**SES Performance Management System
Executive Performance Plan**



Part 1. Consultation. *I have reviewed this plan and have been consulted on its development.*

Executive's Name (Last, First, MI): Battin, Andrew, T	Appraisal Pd. 10/1/16 – 9/30/17
Executive's Signature: <i>Andrew T. Battin</i>	Date: 12/2/16
Title: Director, Office of E-Enterprise for the Environment	Organization: OCFO
Rating Official's Name (Last, First, MI): Bloom, David, A	CA <input type="checkbox"/> NC <input type="checkbox"/> LT/LE <input type="checkbox"/>
Rating Official's Signature: <i>David Bloom</i>	Date: 12/2/2016

Part 2. Progress Review

Executive's Signature: <i>Andrew T. Battin</i>	Date: 4/19/17
Rating Official's Signature: <i>David Bloom</i>	Date: 4/19/17
Reviewing Official's Signature (Optional):	Date:

Part 3. Summary Rating

(b) (6)

Initial Summary Rating	<input type="checkbox"/> Outstanding	<input type="checkbox"/> Commendable	<input type="checkbox"/> Effective	<input type="checkbox"/> Minimally Satisfactory	<input type="checkbox"/> Unsatisfactory
Rating Official's Name (Last, First, MI): Bloom, David, A					
Rating Official's Signature: <i>David Bloom</i>	Date: 11/6/2017				
Executive's Signature: <i>Andrew T. Battin</i>	Date: 11/6/2017				
Reviewing Official's Signature (Optional):	Date:				

Higher Level Review (if applicable)

I request a higher level review. Executive's Initials: _____ Date: _____

Higher Level Review Completed Date: _____

Higher Level Reviewer Signature: _____

Performance Review Board Recommendation

Level 5 Level 4 Level 3 Level 2 Level 1

PRB Chair Signature: _____ Date: _____

Annual Summary Rating Level 5 Level 4 Level 3 Level 2 Level 1

Appointing Authority Signature: _____ Date: _____

Part 4. Derivation Formula and Calculation of Annual Summary Rating

Critical Element	Element Rating		Weight	Score		Summary Level Ranges
	Initial	Final (if changed)		Initial	Final (if changed)	
1. Leading Change	(b) (6)		10	(b) (6)		475-500 = Level 5 400-474 = Level 4 300-399 = Level 3 200-299 = Level 2 Any CE rated Level 1 = Level 1
2. Leading People			25			
3. Business Acumen			10			
4. Building Coalitions			10			
5. Results Driven			45			
Total			100%			

Part 5. Performance Standards and Critical Elements

Performance Standards for Critical Elements (The performance standard for each critical element is specified below; examples for the top three performance levels can be found in the system description)

- **Level 5:** The executive demonstrates exceptional performance, fostering a climate that sustains excellence and optimizes results in the executive's organization, agency, department or Government-wide. This represents the highest level of executive performance, as evidenced by the extraordinary impact on the achievement of the organization's mission. The executive is an inspirational leader and is considered a role model by agency leadership, peers, and employees. The executive continually contributes materially to or spearheads agency efforts that address or accomplish important agency goals, consistently achieves expectations at the highest level of quality possible, and consistently handles challenges, exceeds targets, and completes assignments ahead of schedule at every step along the way.

- **Level 4:** The executive demonstrates a very high level of performance beyond that required for successful performance in the executive's position and scope of responsibilities. The executive is a proven, highly effective leader who builds trust and instills confidence in agency leadership, peers, and employees. The executive consistently exceeds established performance expectations, timelines, or targets, as applicable.

- **Level 3:** The executive demonstrates the high level of performance expected and the executive's actions and leadership contribute positively toward the achievement of strategic goals and meaningful results. The executive is an effective, solid, and dependable leader who delivers high-quality results based on measures of quality, quantity, efficiency, and/or effectiveness within agreed upon timelines. The executive meets and sometimes exceeds challenging performance expectations established for the position.

- **Level 2:** The executive's contributions to the organization are acceptable in the short term but do not appreciably advance the organization towards achievement of its goals and objectives. While the executive generally meets established performance expectations, timelines and targets, there are occasional lapses that impair operations and/or cause concern from management. While showing basic ability to accomplish work through others, the executive may demonstrate limited ability to inspire subordinates to give their best efforts or to marshal those efforts effectively to address problems characteristic of the organization and its work.

- **Level 1:** In repeated instances, the executive demonstrates performance deficiencies that detract from mission goals and objectives. The executive generally is viewed as ineffectual by agency leadership, peers, or employees. The executive routinely does not meet established performance expectations/timelines/targets and fails to produce – or produces unacceptable – work products, services, or outcomes.

Element Rating Level Points

Level 5 = 5 points
Level 4 = 4 points
Level 3 = 3 points
Level 2 = 2 points
Level 1 = 0 points

Critical Element 1. Leading Change

(Minimum weight 5%)

(b) (6)

Mandatory Performance Requirement: Develops and implements an organizational vision that integrates key organizational and program goals, priorities, values, and other factors. Assesses and adjusts to changing situations, implementing innovative solutions to make organizational improvements, ranging from incremental improvements to major shifts in direction or approach, as appropriate. Balances change and continuity; continually strives to improve service and program performance; creates a work environment that encourages creative thinking, collaboration, and transparency; and maintains program focus, even under adversity.

Agency-Specific Performance Requirements

Advances EPA's cross-agency strategies to improve service and program performance, to include streamlining decision making to increase efficiency and reduce costs, and to achieve sustainable environmental, economic, and social outcomes.

Rating Official Narrative:

(b) (6)

Critical Element Rating – Leading Change

(b) (6)

Critical Element 2. Leading People

(Minimum weight 5%)

(b) (6)

Mandatory Performance Requirement: Designs and implements strategies that maximize employee potential, connects the organization horizontally and vertically, and fosters high ethical standards in meeting the organization's vision, mission, and goals. Provides an inclusive workplace that fosters the development of others to their full potential; allows for full participation by all employees; facilitates collaboration, cooperation, and teamwork, and supports constructive resolution of conflicts. Ensures employee performance plans are aligned with the organization's mission and goals, that employees receive constructive feedback, and that employees are realistically appraised against clearly defined and communicated performance standards. Holds employees accountable for appropriate levels of performance and conduct. Seeks and considers employee input. Recruits, retains, and develops the talent needed to achieve a high quality, diverse workforce that reflects the nation, with the skills needed to accomplish organizational performance objectives while supporting workforce diversity, workplace inclusion, and equal employment policies and programs.

Agency-Specific Performance Requirements

Employee is personally engaged in the development and success of Agency Civil Rights, EEO, and Diversity and Inclusion programs and/or initiatives, including action items identified in the Agency's *Management Directive 715 Report*. Promotes respectful, cooperative, and productive relationships between all employees including diverse individuals and teams in support of EPA's mission. Ensures compliance with applicable equal employment opportunity laws, regulations, policies, and Executive Orders. Engages in proactive efforts to minimize workplace conflict and enhance management-employee communication, and promotes employee career development. When conflict arises, participates actively in EEO processes and resolution efforts, including alternative dispute resolution, EEO Counseling activities, and EEO investigations and hearings. Applies Merit Systems Principles as appropriate, promptly responds to allegations of discrimination and/or harassment, and initiates appropriate action to address such situations.

As applicable, supports efforts within organization to cultivate a highly-skilled workforce, providing employees with opportunities to learn and work collaboratively in a modern, inclusive, and flexible work environment, and supporting their use of advanced information technologies and tools that enhance communication, transparency, and cooperative problem solving across the Agency and with our partners. Employee uses employee feedback and other data to develop action plans or initiatives to improve employee engagement and inclusion.

Rating Official Narrative

(b) (6)

Critical Element Rating – Leading People

(b) (6)

Critical Element 3. Business Acumen

(Minimum weight 5%)

(b) (6)

Mandatory Performance Requirement: Assesses, analyzes, acquires, and administers human, financial, material, and information resources in a manner that instills public trust and accomplishes the organization's mission. Uses technology to enhance processes and decision making. Executes the operating budget; prepares budget requests with justifications; and manages resources.

Agency-Specific Performance Requirements

As applicable, effectively promotes and supports meeting the Agency's Small Business Program goals and commitments, including implementing strategies for increasing potential contracting opportunities for Small Businesses, Small Disadvantaged Businesses, 8(a) Businesses, Service-Disabled Veteran-Owned Small Business, Women Owned Small Businesses and HUBZone Businesses. As appropriate, effectively promotes and supports meeting the Agency's Minority Academic Institutions Program goals through increased opportunities to Historically Black Colleges and Universities, Tribal Colleges and Universities, Asian American Pacific Islander Serving Institutions, Alaska Native Serving Institutions, Native Hawaiian Serving Institutions, and Hispanic Serving Institutions identified by the Department of Education's Award Categories.

As applicable, modernizes business practices, including through E-Enterprise, and takes advantage of new tools and technologies. Improves the way we work as a high-performing Agency by ensuring we add value in every transaction with our workforce, our co-regulators, our partners, industry, and the people we serve. As applicable, promotes the use of strategic sourcing and business process improvements as a component of the Agency's High Performing Organization Cross-Agency Strategy.

As applicable, ensures compliance with all personnel security and National Security Information requirements. Safeguards and protects classified information in the manner prescribed by regulation, directive and agency guidelines. Report incidents, in compliance with the National Security Information manual, involving the improper handling, unauthorized or inadvertent disclosure of classified information and violations of the security regulations.

Rating Official Narrative:

(b) (6)

Critical Element Rating – Business Acumen

(b) (6)

Critical Element 4. Building Coalitions

(Minimum weight 5%)

(b) (6)

Mandatory Performance Requirement: Solicits and considers feedback from internal and external stakeholders or customers. Coordinates with appropriate parties to maximize input from the widest range of appropriate stakeholders to facilitate an open exchange of opinion from diverse groups and strengthen internal and external support. Explains, advocates, and expresses facts and ideas in a convincing manner and negotiates with individuals and groups internally and externally, as appropriate. Develops a professional network with other organizations and identifies the internal and external politics that affect the work of the organization.

Agency-Specific Performance Requirements

As applicable, engages communities to improve health, livability, and economic vitality of neighborhoods, while advancing Agency goals for environmental justice and children’s health. As applicable, strengthens relationships with states, tribes, local governments, and the global community to build new tools and strategies, establish joint priorities, manage resources effectively, and share information.

Rating Official Narrative

(b) (6)

Critical Element Rating – Building Coalitions

(b) (6)

Critical Element 5. Results Driven

(Minimum Weight 20%)

(b) (7)(A)

The executive must list at least 2 performance requirements. The executive may list up to 10 in total; overflow space provided on following page. Calibri 10 font required.

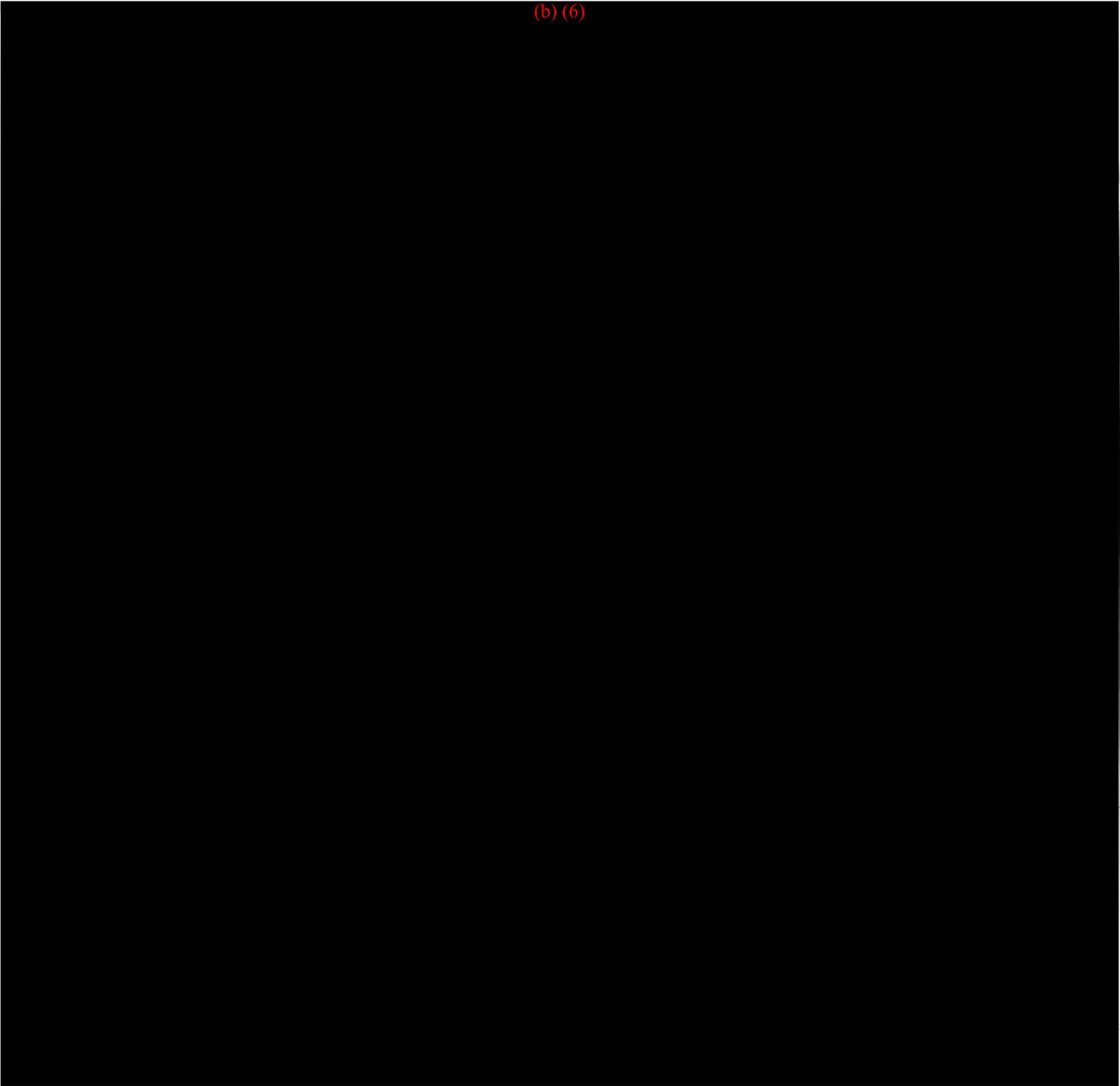
This critical element includes specific performance requirements expected of the executive during the appraisal period, focusing on measurable results from the strategic plan or other measurable outputs and outcomes clearly aligned to organizational goals and objectives. At a minimum, the performance requirements must contain measurable results and their quality indicators describing the range of performance at Level 3 for each result specified. In addition to the quality indicators, applicable measures of quantity, timelines, and/or cost-effectiveness may be included as appropriate. It is recommended to also establish the threshold quality indicators and measures for Levels 5 and 2. Indicators must reflect the same level of performance as the respective performance standard contained in Part 5.

Strategic Alignment—identify clear, transparent alignment to agency strategic planning initiatives (e.g., relevant agency or organizational goals/objectives with cited page numbers from the Strategic Plan, Congressional Budget Justification/Annual Performance Plan, or other organizational planning document) in the designated section for each performance requirement.

Note: Performance requirements must contain results and quality indicators that are clearly and differentially identified (e.g., highlighted, bold, underlined) so that it is readily evident on what the senior executive will be rated and what is expected for success.

(b) (6)

(b) (6)



Rating Official Narrative: *(Supervisor must provide comment for critical element ratings of Outstanding, Needs Improvement, and Unsatisfactory)*

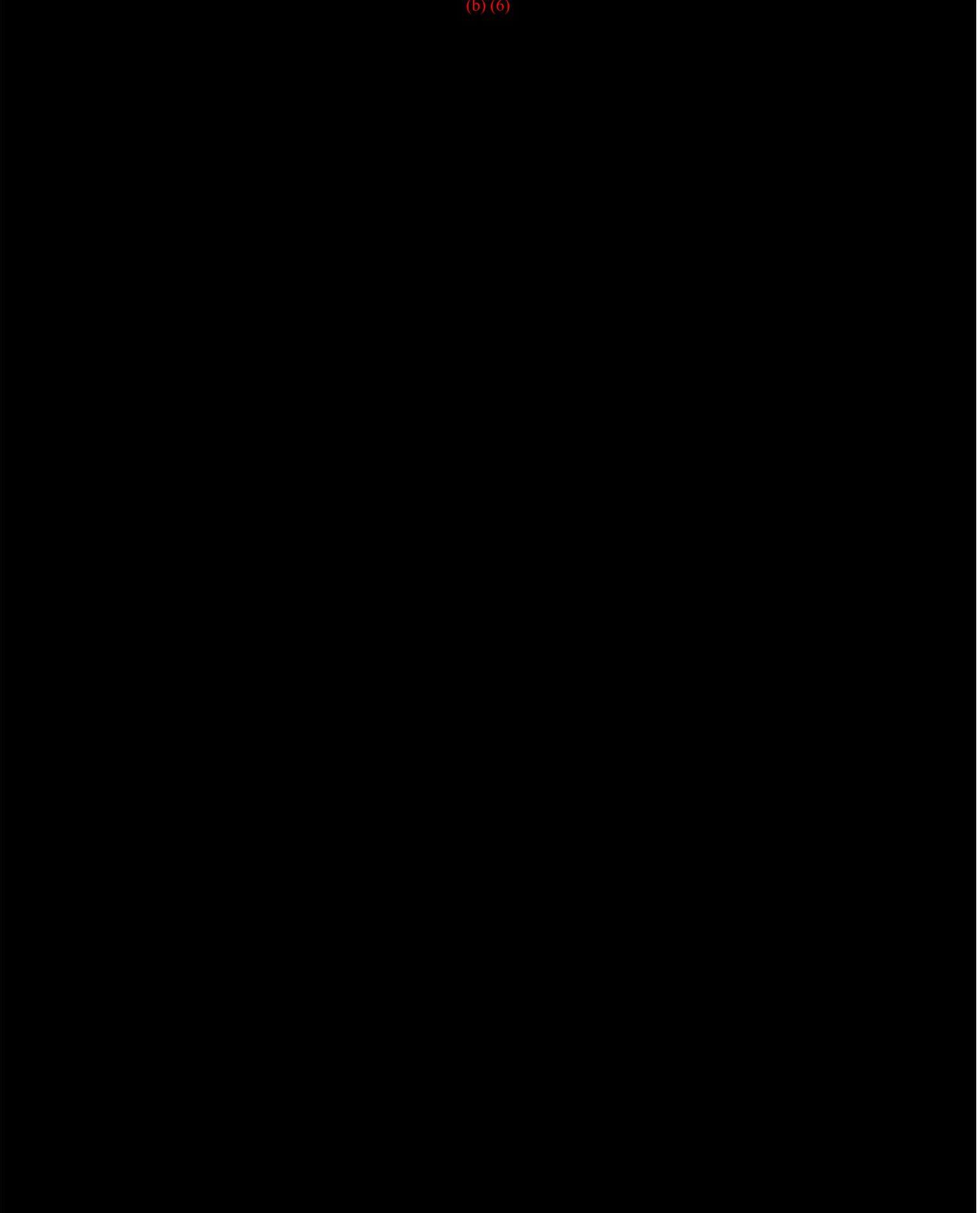
(b) (6)

Critical Element Rating – Results Driven

(b) (6)

Part 6: Summary Rating Narrative (Mandatory) Supervisor must provide comment for all ratings.

(b) (6)



Part 7: Executive's Accomplishment Narrative Executive must provide narrative for all Critical Elements within the 2 pages provided. Calibri 10 font required.

(b) (6)

Part 8: Agency Use

Executive Development Plan

Employee Name (Last, First, MI)

Battin, Andrew, T

Performance Period

From: 10/1/16

To: 9/30/17

Long Term Goal:

(b) (6)

Short Term Goal:

(b) (6)

Career Goals & Development Objectives

Specific Development Activities

Goals/Objectives

Activity

Time Frame

(b) (6)

Discussion and/or approval of the Executive Development Plan.

Employee

Signature



Date

12/2/16

Supervisor

Signature



Date

12/2/2016

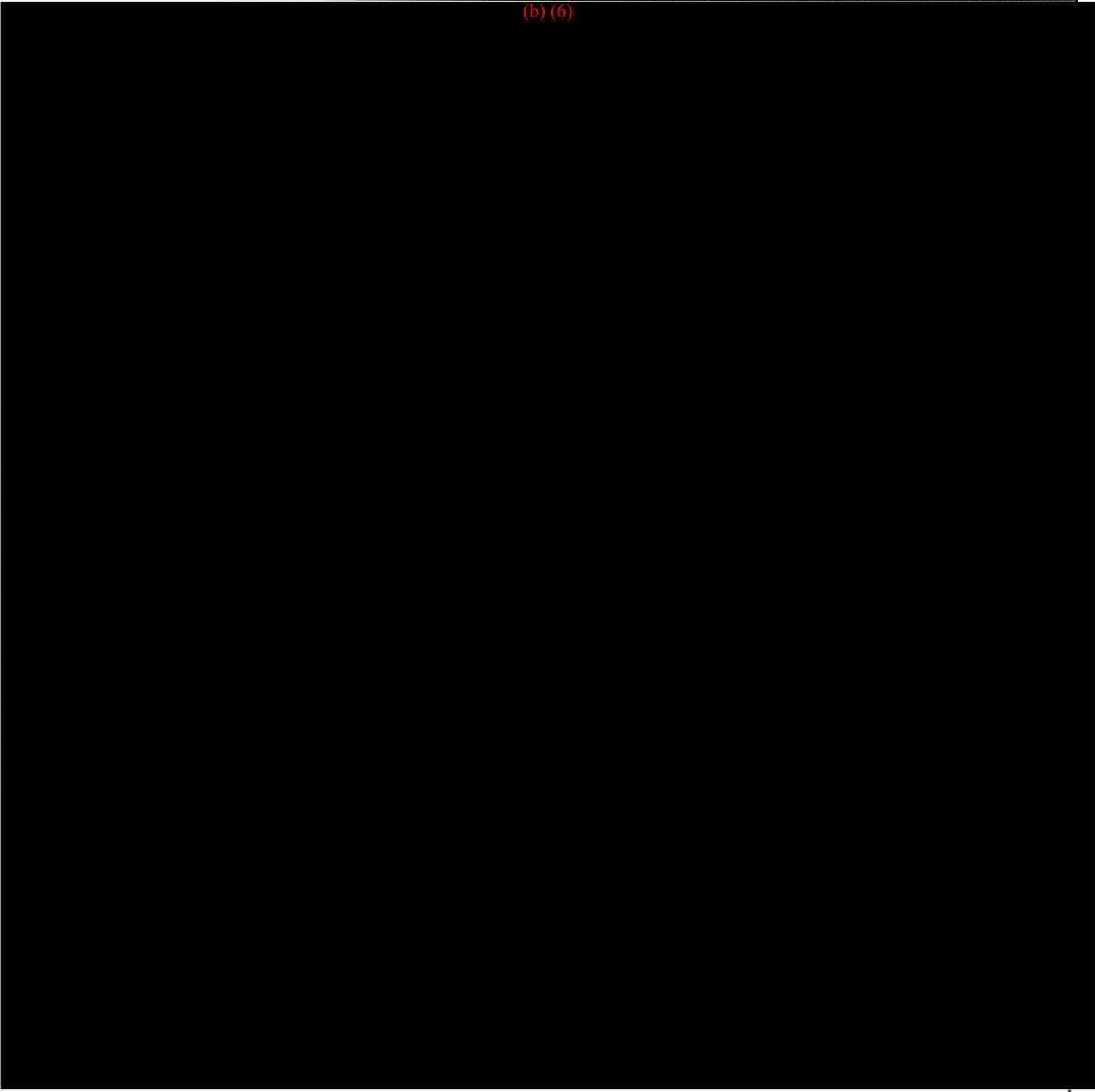
Approving Official

Signature

Date

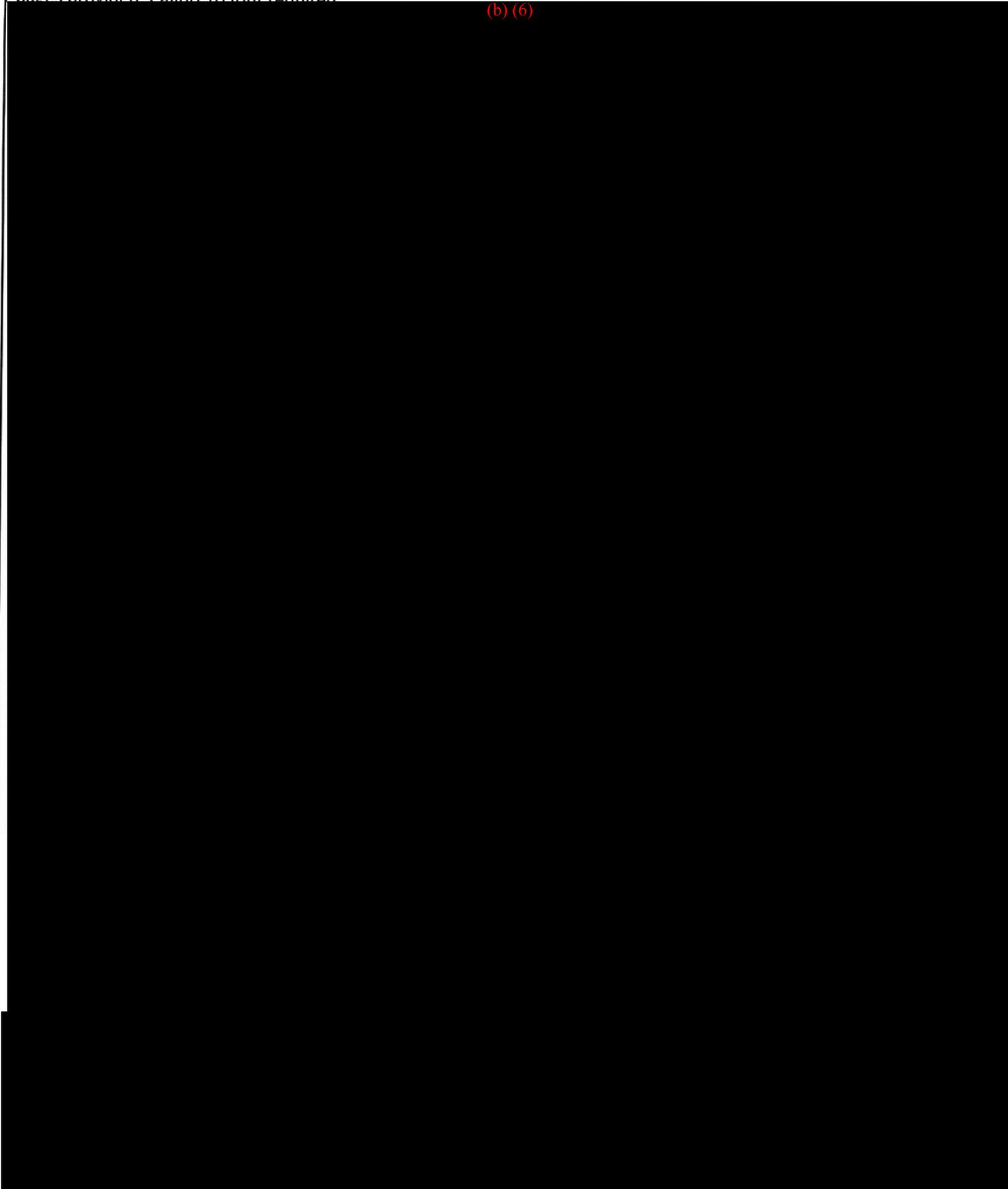
Part 6: Summary Rating Narrative (Mandatory) Supervisor must provide comment for all ratings.

(b) (6)



Part 7: Executive's Accomplishment Narrative – Executive must provide narrative for all Critical Elements within the 2 pages provided. Calibri 10 font required.

(b) (6)



immediate savings.

(b) (6)